



Test Script #6 - Self-Attestation

Summary

Test Script #6 will outline documentation requirements and any other items to which the Applicant will “self-attest” that it meets the Department of Mental Health (DMH) certification criteria.

Documentation Review

For all procedural items in this test script #6, the Applicant will provide the following self attestation information: 1) clear identification of the functions assigned to a third party (where assignable); 2) a statement explaining how the product complies with the criteria; and 3) supporting documentation as evidence of the product’s compliance.

DMH provides a Self Attestation Submission Form that Applicants must use to submit self attestation materials to DMH.

It is intended that supporting documentation that describes the product’s compliance with the certification criteria be provided to purchasers of the system. As a result, DMH may require proof that Applicant documentation supplied to purchasers of the product contains this information.

Test Step		Expected Result	Actual Result	Pass/Fail	
6.01	Ask the Applicant to provide documentation describing how the system will provide the ability to update drug interaction databases.	Applicant provides documentation.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail

Test Step		Expected Result	Actual Result	Pass/Fail	
6.02	Ask the Applicant to provide documentation describing the system's ability to update disease management guidelines and associated reference material.	Applicant provides documentation. The system should support some mechanism to update guidelines (whether through links to literature or other online resources, vendor-provided information, built-in rules, etc.). These updates can be managed by either the vendor or the user.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail
6.03	Ask the Applicant to provide documentation describing the system's ability to update preventive service / wellness guidelines and associated reference material.	Applicant provides documentation.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail
6.04	Ask the Applicant to provide documentation describing the system's ability to document that a preventive or disease management service has been performed based on activities documented in the record.	Applicant provides the documentation.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail

Test Step		Expected Result	Actual Result	Pass/Fail	
6.05	Ask the Applicant to provide documentation describing how the system provides the ability to modify the guidelines that trigger reminders.	Applicant provides documentation.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail
6.06	Ask the Applicant to provide documentation that describes how users can customize/edit the prescription template.	Applicant provides documentation.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail
6.07	Ask the Applicant to provide documentation that describes the system's ability to define one or more reports as the formal health record for disclosure purposes.	Applicant provides documentation.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail
6.08	Ask the Applicant to provide documentation describing how the system will retain data until purged, deleted, archived or otherwise deliberately removed.	Applicant provides the documentation.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail

Test Step		Expected Result	Actual Result	Pass/Fail	
6.09	Ask the Applicant to provide documentation describing how the system will provide the ability to update the clinical content or rules utilized to generate clinical decision support reminders and alerts.	Applicant provides documentation; policy and timetables for updates.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail
6.10	Ask the Applicant to provide documentation describing how the system will provide the ability to update clinical decision support guidelines and associated reference material.	Applicant provides the documentation.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail
6.11	Ask the Applicant to provide documentation describing how the system provides the ability to customize clinical templates.	Applicant provides documentation.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail

Test Step		Expected Result	Actual Result	Pass/Fail	
6.12	Ask the Applicant to provide documentation that covers ONE of the following: 1. Security Administration settings that prevent the reuse of passwords within a specific timeframe; or 2. Security Administration settings that prevent the reuse of a certain number of the most recently used passwords.	Applicant provides documentation. If S22 is assigned, see step 7.25.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail
6.13	Ask the Applicant to provide documentation that covers: • Method used to create, modify and remove user accounts	Applicant provides documentation. If S23 is assigned, see step 7.04.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail

Test Step		Expected Result	Actual Result	Pass/Fail	
6.14	Ask the Applicant to provide documentation regarding known issues regarding use of antivirus, intrusion detection, malware eradication, and host based firewall with the system, along with the appropriate actions to mitigate the effects of the issue.	<p>Applicant provides documentation.</p> <p>Verify that the provided documentation covers the proper configuration of host-based security services as appropriate for the system. (E.g. special directives when a COTS antivirus product is desired.)</p>		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail

Test Step		Expected Result	Actual Result	Pass/Fail	
6.15	<p>If the system includes hardware, the Applicant shall provide documentation that covers:</p> <ul style="list-style-type: none"> • Expected physical environment necessary for proper secure and reliable operation of the system including • Electrical; • HVAC; • Sterilization; and • Work area. <p>If the system does not include hardware, the Applicant shall provide documentation that it does not.</p>	<p>If the system includes hardware, Applicant provides the documentation.</p> <p>Verify that documentation meets minimal best practice requirements including description of the environments required for secure operation, electrical and HVAC requirements.</p> <p>If the system does not include hardware, Applicant provides documentation that it does not.</p>		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail

Test Step		Expected Result	Actual Result	Pass/Fail	
6.16	<p>The Applicant shall provide documentation of the ports, network protocols (e.g. HL7, http, ftp) and services (e.g. php, asp, SOAP), including the minimal privileges necessary for each service and protocol to provide EHR functionality and/or serviceability.</p> <p>This documentation would provide guidance to a network integration specialist while configuring network defense mechanisms such as firewalls and VLAN routers. The documentation would include the reason for each TCP/UDP port number that the EHR is listening on, and each RCP/HTTP service that the EHR has a service running on.</p>	<p>Applicant provides documentation.</p> <p>This information may be used by the healthcare provider to properly configure their network defenses.</p>		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail

Test Step		Expected Result	Actual Result	Pass/Fail	
6.17	Ask the Applicant to provide documentation that covers: <ul style="list-style-type: none"> • Procedures for product installation and start-up. • The steps needed to confirm that the installation was properly completed and that the system is operational. 	Applicant provides documentation.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail
6.18	Ask the Applicant to provide documentation that covers: <ul style="list-style-type: none"> • The patch (hot-fix) handling process the Applicant will use for EHR, operating system and underlying tools. 	Applicant provides documentation. Examples: specific web site where patch notices are, approved patch list, special instructions for installation, and post installation test.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail
6.19	Ask the Applicant to provide documentation that explains system error or performance messages to users and administrators, with actions required.	Applicant provides documentation.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail

Test Step		Expected Result	Actual Result	Pass/Fail	
6.20	Ask the Applicant to provide documentation of product capacities (e.g. number of users, number of transactions per second, number of records, network load, etc.) given a baseline representative configuration (e.g. number or type of processors, server/workstation configuration and network capacity, etc.).	Applicant provides documentation.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail
6.21	Functionality requires that the systems shall be configurable to prevent corruption or loss of data already accepted into the system in the event of a system failure (e.g. integrating with a UPS, etc.) Ask the Applicant to provide documentation describing how the system is configurable, as required above.	Applicant provides the required documentation. If R17 is assigned, see step 7.17.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail

Test Step		Expected Result	Actual Result	Pass/Fail	
6.22	Ask the Applicant to provide its procedures to scan system and installation media for well-known malware.	Applicant describes how they scan the system and related installation media (if applicable) for well-known malware.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail
6.23	Ask Applicant to provide documentation that describes how the system complies with NTP/SNTP time synchronization standards and describes how such timing is used in all security records maintained by the system.	Applicant provides required documentation. If S8.1 is assigned, see step 7.18.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail

Test Step		Expected Result	Actual Result	Pass/Fail	
6.24	Ask the Applicant to provide documentation describing how, when communication is necessary over open networks, any PHI communicated shall be protected against confidentiality failures.	Applicant provides required documentation. If S24 is assigned, see step 7.19.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail
6.25	Ask the Applicant to provide documentation describing how, when communications is necessary over open networks, any PHI communicated shall be protected against integrity failures.	Applicant provides required documentation. If S28 is assigned, see step 7.20.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail

Test Step		Expected Result	Actual Result	Pass/Fail	
6.26	Ask the Applicant to provide documentation describing how, when communications is necessary over open networks, any PHI communicated shall be protected against false remote nodes.	Applicant provides required documentation. If S29 is assigned, see step 7.21.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail
6.27	If the system supports a web interface, ask the Applicant to provide documentation on setting up SSL.	Applicant provides the required documentation. If S27 is assigned, see step 7.22.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail

Test Step		Expected Result	Actual Result	Pass/Fail	
6.28	Applicant shall provide documentation that describes how their system handles passwords in such a way that passwords are never saved in any form other than encrypted or hashed using standards-based algorithms (e.g. 3DES, AES, SHA1). This might be pointers to platform documentation as the solution, or the Applicant's own documentation.	Applicant provides the required documentation. If S21 is assigned, see step 7.23.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail
6.29	Applicant shall provide documentation that describes how their system handles passwords in such a way that passwords are never transported in plain text. This might be pointers to platform documentation as the solution, some third party documentation, or the Applicant's own documentation.	Applicant provides the required documentation. If S25 is assigned, see step 7.24.		<input type="checkbox"/> Pass	<input type="checkbox"/> Fail